

**Record Type:** ELECTRONIC RECORDS

Series	Action	Total period From Closure	Remarks	Status	Authorised by
1A. Primary Databases (Main service database)	R	20 Years	Unless other statutory retention period applies. Information should be retained within database for 2 years from closure and then transferred to an archive database for remainder.	Confirmed	Service Manager Facilities and Support
1B. Secondary Databases (Containing additional Information on client)	D	5 Years	Information should be retained within database for 1 year from closure and then transferred to an archive database for remainder.	Confirmed	Service Manager Facilities and Support
2. Copies of correspondence where paper copy also exists	D	6 months	To be deleted after 6 months without having been updated	Confirmed	Service Manager Facilities and Support
3. Copies of correspondence where no paper copy exists	R	See under remarks	To be held in accordance with retention periods for manual papers as detailed in this document	Confirmed	Service Manager Facilities and Support

**Record Type:** MISCELLANEOUS

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
1. Diaries (to include Outlook calendar)	D	5 Years	N/A	Required for audit purposes	Confirmed	Service Manager Facilities and Support
2. Complaints papers	R	5 Years	4Years	To be held on client File. where applicable and by the complaints service centrally	Confirmed	Service Manager Complaints
3. Praise Letters	D	5 Years	4 Years		Confirmed	Service Manager Facilities and Support
4. NOT USED						
5. Inventories	A	10 Years	9 Years		Confirmed	Service Manager Facilities and Support
6. Minutes of meetings With Other Agencies	A	5 Years	4 Years		Confirmed	Service Manager Facilities and Support
7. Joint Working Agreements	A	10 Years	9 Years		Confirmed	Service Manager Facilities and Support
8. Visitors Log	D	5 Years	4 Years		Confirmed	Service Manager Facilities and Support
9. Staff meeting minutes	D	5 Years	4 Years		Confirmed	Service Manager Facilities and Support

**Record Type:** MISCELLANEOUS

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
10. CCTV Images	D	31 Days	N/A	Tape to be erased or recorded over	Confirmed	Service Manager Facilities and Support
11. Service contracts	A	10 Years	9 Years		Confirmed	Services Manager Contracts
12. Directorate plans and policies	A	5 Years	4 Years		Confirmed	Principle Planning Officer
13. Property deals	A	25 Years	24 Years		Confirmed	Service Manager Property
14. Public consultation records	A	25 Years	24 Years		Confirmed	Service Manager Facilities and Support
15. Client Information held outside main client record	D	1 Year	N/A	Any information held on a client to which no other retention period applies	Confirmed	Service Manager Facilities and Support
16. Management Information	D	Current Year plus previous	N/A	Applies to any information held as a result of role that is held for administrative purposes	Confirmed	Service Manager Facilities and Support
17. Access To Records - R administration and correspondence		5 Years	4 Years		Confirmed	Service Manager of service applicable area

**Record Type:** ADMINISTRATION

<b>Series</b>	<b>Action</b>	<b>Total Period From closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
1. Disabled Parking Badges	D	6 Months	N/A	GP's certificate valid 9 years if not renewed	Confirmed	Service Manager Facilities and Support
2. Voluntary Funds	D	5 Years	4 Years		Confirmed	Chief Management Accountant
3. Print Orders	D	2 Years	N/A		Confirmed	Service Manager Facilities and Support
4. NOT USED						
5. Publications	A	5 Years	4 Years	Customer Services Manager to hold a master copy.	Confirmed	Service Manager Facilities and Support

**Record Type:** CARE MANAGEMENT

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
1. Mental Health	R	6 Years (or 2 after death)	5 Years	Subject to finalisation of all financial matters.	Confirmed	Social Care Director
2. Learning Disability	R	6 Years (or 2 after death)	5 Years	Subject to finalisation of all financial matters.	Confirmed	Service Manager Learning Disabilities Commissioning
3. Older Person	R	6 Years (or 2 after death)	5 Years	Subject to finalisation of all financial matters.	Confirmed	Service Manager Services For Older People & Physical Disabilities
4. Physical Disability	R	6 Years (or 2 after death)	5 Years	Subject to finalisation of all financial matters.	Confirmed	Service Manager Services For Older People & PD
4A. Occupational Therapy	R	6 Years (or 2 after death)	4 ½ years	Subject to finalisation of all financial matters.	Confirmed	Service Manager Services For Older People & PD
4B. Occupational Therapy (under age 65)	R	8 Years (or 2 after death)	6 ½ Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Services For Older People & PD

**Record Type:** CARE MANAGEMENT (Continued)

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
4C. Sensory Impairment	R	Age 65 or 5 years whichever is longest (or 2 after death)	As applic	Subject to finalisation of all financial matters.	Confirmed	Service Manager Sensory Impairment
4D. Forms BD8	R	Until Death of Client	N/A		Confirmed	Service Manager Sensory Impairment
5. Joint Mental Health/ S&HC	R	6 Years (or 2 after death)	4 Years	Subject to finalisation of all financial matters. SSD papers to be removed from file at closure.	Confirmed	Social Care Director
6 – 7 NOT USED						
8. Papers for Clients where no service are offered/received	R	See Remarks	N/A	Current year plus previous. Subject to finalisation of all financial matters	Confirmed	Service Manager Services For Older People & PD
9. Intermediate Care	R	6 Years (or 2 after death)	3 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Integrated Intermediate Care service

**Record Type:** CARE MANAGEMENT (Continued)

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
10. CSDP Paperwork	R	3 Years	2 Years		Confirmed	Operations Manager Services For Older People & PD
10A. CSDP Loans	R	10 Years	9 Years		Confirmed	Chief Financial Accountant
11. Relief To Carers Adult	R	6 Years	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Day Support & Relief To Care
12. Adult Placement Provider	R	6 Years	5 Years		Confirmed	Service Manager LD Provision
13. Carers	R	6 Years	5 years		Confirmed	Service Manager

**Record Type:** ADULT RESIDENTIAL

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
1. Residential Files	R	5 Years (or 2 on death)	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability
2. Medication Records	D	5 Years (or 2 on death)	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability
3. NOT USED						
4. Care Plans	R	5 Years (or 2 on death)	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability
5. NOT USED						
6. Resident Finance	D	5 Years (or 2 on death)	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability
7-9. NOT USED						
10. Review Notes	R	5 Years	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability
11. Inspection Reports	D	10 Years	9 Years		Confirmed	Service Manager Learning Disability
12. Regulation 14 Notifications	A	10 Years	9 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability

**Record Type:** ADULT RESIDENTIAL (Continued)

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
13. Register of Admissions & discharges	D	25 Years	24 Years		Confirmed	Service Manager Learning Disability
14. Day Care Register	D	5 Years	4 Years	Subject to finalisation of all financial matters. (1 year after death)	Confirmed	Service Manager Day Support & Relief To Care
15-16 NOT USED						
17. Rotas	D	Current Year plus 2 previous	2 Years		Confirmed	Service Manager Learning Disability
18. Menus	D	1 Year	N/A		Confirmed	Service Manager Learning Disability
19. Catering Log Books	D	Current Year plus 2 previous	2 Years		Confirmed	Service Manager Learning Disability
20-44. NOT USED						
45. Daily Recording sheets	D	5 Years	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability
46. Communication Books	D	5 Years	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability

**Record Type:** ADULT RESIDENTIAL (Continued)

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
47. Client Care Plan Packs	D	5 Years	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Learning Disability
48 – 51. NOT USED						

**Record Type:** HOME SUPPORT SERVICE

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
1. Review Notes	D	5 Years	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Home Support Direct Services
2. Client Finance Records	D	5 Years	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Home Support Direct Services
3. Work Schedules	D	5 Years	4 Years		Confirmed	Service Manager Home Support Direct Services
4. Cold Harbour Period End Reports	D	5 Years previous	4 Years		Confirmed	Service Manager Home Support Direct Services

**Record Type:** CHILDREN & FAMILIES – GENERAL

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
1. Notification of Schedule One allegation (offences against children inc. discharge from prison)	D	60 Years	50 Years		Confirmed	Operations Manager Children's Services
2. Notification from other authority of missing person	D	2 Years	N/A	Unless advised to keep longer by notifying authority	Confirmed	Operations Manager Children's Services
3. Child in care of another authority but supervised by OCC	R	3 Years	2 Years	After closure return to caring authority	Confirmed	Service Manager Children Looked After
3A. Papers for clients where no services are offered/received	D	Previous 12 months only	N/A		Confirmed	Service Manager Assessments
4. Client funded by OLA	N/A	3 Years	N/A	Return to OLA. See Client Record Management Protocols	Confirmed	Service Manager Assessments
4A. Child who dies whilst receiving services	R	5 Years	4 Years		Confirmed	Operations Manager Children's Services

**Record Type:** CHILDREN AND FAMILIES – CHILD PROTECTION

Series	Action	Total period <i>From Closure</i>	Years in <i>Store</i>	Remarks	Status	Authorised by
5. NOT USED						
5A Asylum Seeker	R	5 Years (or 2 after death)	4 Years	Subject to finalisation of all financial matters	Confirmed	Service Manager Asylum Seekers
6. Case files for children on Child Protection register	R	40 Years	39 Years		Confirmed	Service Manager CP & QA
7. CP Investigation papers	R	40 Years	39 Years		Confirmed	Service Manager CP & QA
7A. CP Investigation resulting in NFA (S47)	R	10 Years	9 Years		Confirmed	Service Manager CP & QA
7B. CP Conference Minutes	D	5 Years	N/A	Does not apply to copies held on case files	Confirmed	Service Manager CP & QA

**Record Type:** CHILDREN AND FAMILIES – FAMILY PLACEMENT

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
8. Adopted Child	R	100 Years	99 Years	From date of adoption. Adoption records should be held in place of special security	Confirmed	Service Manager Placements
9. Approved adopted parent registration (where child is placed)	R	75 Years	74 Years		Confirmed	Service Manager Placements
9A. Approved adopted parent registration (registration not used in Oxon)	R	20 Years	19 Years		Confirmed	Service Manager Placements
10. Unapproved adoption or fostering applicant	R	See Remarks		Until both applicants reach 60 years of age, or 10 years if this is longer	Confirmed	Service Manager Placements
11. Approved Foster parent/ participants on lodging scheme	R	10 Years	9 Years	After ceasing to foster	Confirmed	Service Manager Placements
12. Adoption counselling/ birth record counselling	R	10 years or review date of original papers, whichever is longest	9 years		Confirmed	Service Manager Placements

**Record Type:** CHILDREN AND FAMILIES – CHILDREN LOOKED AFTER

Series	Action	Total period <i>From Closure</i>	Years in <i>Store</i>	Remarks	Status	Authorised by
13. Child on care order/ accommodated by OCC	R	75 Years	74 Years	Legal requirement to keep until child is 75 years old	Confirmed	Service Manager Children Looked After
14. If child on care order/ accommodated by OCC dies prior to age 18	R	15 Years	14 years	From date of death	Confirmed	Service Manager Children Looked After
14A. If child on care order accomm- odated by OCC dies after age 18	R	15 Years	14 Years		Confirmed	Service Manager Children Looked After
14B. Child who is remanded into care	R	25 Years	24 Years		Confirmed	Service Manager Placements
15. Leaving Care Files	R	75 years	74 years		Confirmed	Service Manager Children Looked After

**Record Type:** CHILDREN AND FAMILIES – OTHER WORK WITH CHILDREN

Series	Action	Total period <i>From Closure</i>	Years in <i>Store</i>	Remarks	Status	Authorised by
15. Child under statutory supervision	R	20 Years	19 Years		Confirmed	Service Manager Placements
16. Child supported (non statutory) without CP legislation – including financial records	R	10 Years	9 Years		Confirmed	Service Manager Children Looked After
17. Child subject to child protection (private fostering regulations)	R	25 Years	24 Years		Confirmed	Service Manager Family Support
18. Child supported (non statutory) with CP registration	R	40 Years	39 Years		Confirmed	Service Manager CP & QA
18A. Children with mental health problems	R	To 30 <sup>th</sup> birthday	After 1 Year		Confirmed	Service Manager Placements

**Record Type:** CHILDREN AND FAMILIES – REFERRAL AND INITIAL ASSESSMENT

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
19. Referral and Initial assessment papers. To include children seeking asylum	R	10 Years	9 Years	From date of closure if not part of another file subsequently	Confirmed	Service Manager Assessments

**Record Type:** CHILDREN AND FAMILIES – CHILDREN WITH DISABILITIES

Series	Action	Total period <i>From Closure</i>	Years in <i>Store</i>	Remarks	Status	Authorised by
20. Blind/partially sighted register	D	See remarks	N/A	Delete from register either at (1) death (retain for one year from death), (2) if no contact from user for 5 years/not on electoral register, or (3) if disability no longer applies or incorrect on the register	Confirmed	Operations Manager Children's Services
21. Deaf Register	D	See remarks	N/A	Delete from register either at (1) death (retain for one year from death), (2) if no contact from user for 5 years/not on electoral register, or (3) if disability no longer applies or incorrect on the register	Confirmed	Operations Manager Children's Services
22. Children with disabilities register	D	See remarks	N/A	Notify user in writing at 18 <sup>th</sup> birthday that they are to be deleted from register. Ask if wish to be added to adult register	Confirmed	Service Manager Disabilities & Partnership

**Record Type:** CHILDREN AND FAMILIES – CHILDREN WITH DISABILITIES (Continued)

Series	Action	Total period <i>From Closure</i>	Years in <i>Store</i>	Remarks	Status	Authorised by
23. Children with physical disabilities (including with adaptations)	R	5 Years	4 Years	Subject to finalisation of all financial matters (unless part of further care package)	Confirmed	Service Manager Disabilities & Partnership
24. Support to children with disabilities	R	10 Years	9 Years	HEPAC files, if closed prior to age 5 to be held on site until reaching 5 <sup>th</sup> birthday	Confirmed	Service Manager Disabilities & Partnership

**Record Type:** CHILDREN AND FAMILIES – YOUTH JUSTICE

Series	Action	Total period <i>From Closure</i>	Years in <i>Store</i>	Remarks	Status	Authorised by	
25.	Records relating to juvenile offences, police or court business unless child in care, remanded in care or schedule 1 offence)	R	20 Years	19 Years	Unless this forms part of the child's existing file, in which case refer to guidance for whole file	Confirmed	Youth Offending Team Manager
26.	Juvenile caution notification from Police	R	5 Years	4 Years	Unless this forms part of the child's existing file, in which case refer to guidance for whole file	Confirmed	Youth Offending Team Manager
27.	Criminal supervision order	R	20 Years	19 Years		Confirmed	Youth Offending Team Manager
28.	Records relating to sexual offences	R	60 Years	59 Years		Confirmed	Youth Offending Team Manager

**Record Type:** CHILDREN AND FAMILIES – FAMILY CENTRES

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
29. Case papers – services provided by Family Centres	R	5 Years	4 Years	Where there is a casework file the two should be amalgamated and the casework retention period used	Confirmed	Service Manager Family Support

**Record Type:** CHILDREN AND FAMILIES – RESIDENTIAL ESTABLISHMENTS

<b>Series</b>	<b>Action</b>	<b>Total period From Closure</b>	<b>Years in Store</b>	<b>Remarks</b>	<b>Status</b>	<b>Authorised by</b>
30. Documents relating to the placement of a child looked after by OCC	R	75 Years	74 Years	The file and all associated records for child to be sent to the caseworker for holding with the casework file	Confirmed	Service Manager Placements
31. Documents relating to the operation of the establishment	R	15 Years	14 Years	Children home regulations 2001. (NB not staffing records)	Confirmed	Service Manager Placements
32. Documents relating to the placement of a child who dies before age 18	R	15 Years	14 Years	Children's home regulations 2001.	Confirmed	Service Manager Placements
33. Menus	D	1 year	N/A	Children's home regulations 2001	Confirmed	Service Manager Placements



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## FILE CLOSURE/DISPOSAL FORM

### Client Details: (To be completed by case worker)

Client Name: ..... SWIFT No: .....

No of Volumes: ..... File Code: (see File Retention Policy page V) .....

### Case Closure: (To be completed by case worker)

**Name:** ..... **Team:** .....

Date Client Died (If applicable): .....

Please amend SWIFT as follows:

Involvement Close Date: ..... Involvement Closure Reason:.....  
(See SWIFT for Values)

Referral Close Date: ..... Referral Close Reason: .....  
(If no other team involvement's still open) (See SWIFT for values)

### Retention Information (To be completed by Manager. See File Retention Policy)

Date file to be sent to Secondary Store: (Not deceased clients) .....

Date file to be reviewed: .....  
(Check SWIFT to ensure not prior to a review date already existing)

At this time the file should be:

Returned to the responsible Manager for review at Section D below.

or

Destroyed without further review (Place an \* in SWIFT File Id field).

Tick  
as

Applicable

Signature: ..... Name: .....

### Action by Administrative Staff:

**SWIFT updated as below: (Tick as applicable). Initials: ..... Date:.....**

Involvement Closed:  Referral Closed (If all involvement's Closed)  P File Closed, Review & Archive dates entered:  \* added to File Id

### Review Instructions: For completion upon reaching file review date

Destroy Now  or New Review Date: .....

Reason : .....

Manager's Signature: ..... Date: .....

SWIFT PFile page updated with destruction or new review date: .....

**After destruction this form should be retained with any proof of Destruction held for 5 years**

## CERTIFICATE OF RETENTION

<b>Document/file reference:</b>					
<b>Document/file title:</b>					
<b>Description of document (e.g. title deeds, orders, agreements)</b> (Please specify)					
<b>Period covered by document/file:</b>		From    /    /    to    /    /			
<b>Retention period:</b>		<b>Archive</b>	<b>YES / NO</b>		
		<b>Destroy</b>	DD	MM	YYYY
		<b>Review</b>	DD	MM	YYYY
<b>Have all draft and duplicate documents been destroyed?</b>		YES/NO			
<b>Is the recommended retention period in accordance with the File Retention Policy?</b> <b>If not, please give reasons</b>		YES/NO  Comments:			
<b>Signature:</b>		<b>Printed name:</b>			
<b>Role/Post:</b>		<b>Date:</b>			

This certificate should be secured to the cover of the document/file before archiving.